



1 RW \$  
+

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>	Application Number	10/802,646	
	Filing Date	March 16, 2004	
	First Named Inventor	Harlan Seymour	
	Group Art Unit Number	2164	
	Examiner Name	Alicia M. Lewis	
Total Number of Pages in This Submission	10*	Attorney Docket Number	20423-08590

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input type="checkbox"/> Declaration <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Application Data Sheet <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement & PTO/SB/08A <input checked="" type="checkbox"/> Copies of IDS Cited Non-Patent References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
REMARKS: *Page count does not include cited references.	

SIGNATURE OF ATTORNEY OR AGENT		
Signature:		
Attorney/Reg. No.:	Brian M. Hoffman, Reg. 39,713	Dated: 2/27/07

CERTIFICATE OF MAILING		
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.		
Signature:		
Typed or Printed Name:	Brian M. Hoffman	Dated: 2/27/07
Express Mail Mailing Number (optional):		

03/06/2007 CNGUYEN2 00000084 10802646

01 FC:1806

180.00 DP

20423/08590/DOCS/1682883.1





**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Harlan Seymour et al.  
APPLICATION NO.: 10/802,646  
FILING DATE: March 16, 2004  
TITLE: Empirical Database Access Adjustment  
EXAMINER: Alicia M. Lewis  
GROUP ART UNIT: 2164  
ATTY. DKT. NO.: 20423-08590

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below:

Dated: 2/27/07

By: [Signature]  
Brian M. Hoffman, Reg. No.: 39,713

MAIL STOP AMENDMENT  
COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☐ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

- ☒ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR §1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☒ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this

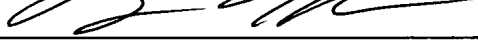
certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(d); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. \_\_\_\_\_, filed on \_\_\_\_\_, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☒ Copies of any foreign patent documents and non-patent literature cited herein are enclosed.
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☐ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
HARLAN SEYMOUR ET AL.

Dated: 2/27/07

By:   
Brian M. Hoffman, Reg. No.: 39,713  
Fenwick & West LLP  
Silicon Valley Center  
801 California Street  
Mountain View, CA 94041  
Tel.: (415) 875-2484  
Fax.: (650) 938-5200



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/802,646
Filing Date	March 16, 2004
First Named Inventor	Harlan Seymour
Art Unit	2164
Examiner Name	Alicia M. Lewis
Attorney Docket Number	20423-08590

Sheet 1 of 4

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A1	US-7,120,645	10-10-2006	Manikutty et al.
	A2	US-7,085,928	08-01-2006	Schmid et al.
	A3	US-2006/0117386 A1	06-01-2006	Gupta et al.
	A4	US-6,928,553	08-09-2005	Xiong et al.
	A5	US-2005/0138006 A1	06-23-2005	Bennett et al.
	A6	US-6,839,850	01-04-2005	Campbell et al.
	A7	US-2004/0250134 A1	12-09-2004	Kohler et al.
	A8	US-2004/0260945 A1	12-23-2004	Raikar et al.
	A9	US-2004/0205360 A1	10-14-2004	Norton et al.
	A10	US-6,775,827	08-10-2004	Harkins
	A11	US-6,775,657	08-10-2004	Baker
	A12	US-2004/0098623 A1	05-20-2004	Scheidell
	A13	US-2003/0221123 A1	11-27-2003	Beavers
	A14	US-2003/0188189 A1	10-02-2003	Desai et al.
	A15	US-2003/0154402 A1	08-14-2003	Pandit et al.
	A16	US-2003/0145226 A1	07-31-2003	Bruton et al.
	A17	US-6,598,038	07-22-2003	Guay et al.
	A18	US-2003/0051026 A1	03-13-2003	Carter et al.
	A19	US-2002/0157020 A1	10-24-2002	Royer
	A20	US-2002/0087882 A1	07-07-2002	Schneider et al.
	A21	US-6,356,887	03-12-2002	Berenson et al.
	A22	US-6,128,740	10-03-2000	Curry et al.
	A23	US-6,088,803	07-11-2000	Tso et al.
	A24	US-5,826,076	10-20-1998	Bradley et al.
	A25	US-5,742,806	04-21-1998	Reiner et al.
	A26	US-5,664,172	09-02-1997	Antoshenkov
	A27	US-5,584,024	12-10-1996	Shwartz

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

20423/08590/DOCS/1682875.1

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/802,646
Filing Date	March 16, 2004
First Named Inventor	Harlan Seymour
Art Unit	2164
Examiner Name	Alicia M. Lewis
Attorney Docket Number	20423-08590

Sheet	2	of	4
-------	---	----	---

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
	B1	WO 01/71499 A1	09-27-2001	Counterpane Internet Security Inc.	

**OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>
	C1	AirCERT web page, last updated 9/18/00 [online]. Cert.org [retrieved 4/18/03]. Retrieved from the Internet<URL:http://www.cert.org/kb/aircert/>.	
	C2	Analysis Console for Intrusion Detection (ACID) web page [online]. Andrew.cmu.edu [retrieved 4/18/03]. Retrieved from the Internet<URL:http://www.andrew.cmu.edu/~rdanyliw/snort/snortacid.html>	
	C3	"Caltarian Security Technology Platform," Riptech web pages [online]. Symanec.com [retrieved 4/18/03]. Retrieved from the Internet<URL:http://wnterprisesecurity.symantec.com/Content/displayPDF.cfm?SSSPDFID=35&EID=O>.	
	C4	Change log for Analysis Console for intrusion Detection (Acid), indicating release date of 9/8/00 [online]. Andrew.cmu.edu [retrieved 4/18/03]. Retrieved from the Internet<URL:http://www.andrew.cmu.edu/~rdanyliw/snort/CHANGELOG>.	
	C5	CyberGuard Corporation, "CyberGuard and Webwasher: The Value Proposition," A CyberGuard Corporation White Paper, May 2004, 6 pages.	
	C6	e=SECURITY, INC., Correlation Technology for Security Event Management, October 7, 2002 [online]. eSecurityins.com [retrieved 4/18/03]. Retrieved from the Internet<URL:http://www.esecurityinc.com/downloads/Correlation_WP.pdf>.	
	C7	Marketing, "Digital Certificates – Best Practices – A Microdasys Whitepaper," bestpractice.doc, Revision 1.1 (July 31, 2003), 6 pages, Czech Republic.	
	C8	Microdasys, "S C I P Secured Content Inspection: Protecting the Enterprise from CryptoHacks," 2003 by Microdasys Inc., 2 pages, Czech Republic.	
	C9	MyNetWatchman.com web pages indicating 9/00 beta release [online]. MyNetWatchman.com [retrieved 4/18/03]. Retrieved from the Internet<URL:http://www.mynetwatchman.com/mynetwatchman>.	
	C10	Network Computing Solutions – "Microdasys SCIP" [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.ncs.cz/index.php?language=en&menuitem=4&subitem=13>, 2 pages, Czech Republic.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

20423/08590/DOCS/1682875.1

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/802,646
Filing Date	March 16, 2004
First Named Inventor	Harlan Seymour
Art Unit	2164
Examiner Name	Alicia M. Lewis
Attorney Docket Number	20423-08590

Sheet

3

of

4

**OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>
	C11	Network Computing Solutions - NSC Homepage – News [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://nsc.cz/index/php?language=en&menuitem=0&subitem=4&subitem=13>, 3 pages, Czech Republic.	
	C12	PARKHOUSE, Jayne, "Pelican Save TNet 2.0," [online] June 2000, SC Magazine Product Review, [retrieved 12/1/2003] Retrieved from the Internet<URL:http://www.scmagazine.com/standalone/pelican/sc_pelican.html>.	
	C13	"PostgreSQL Interactive Documentation," May 2001, [online] [Archived by <a href="http://archive.org">http://archive.org</a> on June 6, 2001; Retrieved on December 19, 2006] Retrieved from the Internet<URL:http://web.archive.org/web/20010606011227/www.postgresql.org/docs/index.php?overv...>	
	C14	2000 Review of eSecurity product on Network Security web page [online]. SCMagazine.com [retrieved 4/18/03]. Retrieved from the Internet<URL:http://www.scmagazine.com/scmagazine/2000_12/testc/network.htm#Open>.	
	C15	SCHNEIER, Bruce, Managed Security Monitoring: Network Security for the 21 <sup>st</sup> Century, 2001 [online]. Conterpane.com [retrieved 4/18/03]. Retrieved from the Internet:<URL:http://www.counterpane.com/msm.pdf>	
	C16	SCIP Product, Microdasys – "The need to control, inspect and manage encrypted webtraffic." [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.microdasys.com/scipproduct+M54a708de802.html>. Author unknown, 2 pages, Czech Republic.	
	C17	Slashdot.org web pages describing Dshield, dated 11/27/00 [online]. Slashdot.org [retrieved 4/18/03]. Retrieved from the Internet:<URL:http://slashdot.org/article.pl?sid=00/11/27/1957238&mode=thread>.	
	C18	SSL Stripper Home Page, "Security Solutions: Sample Screenshots," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.vroyer.org/sslstripper/index.html>, 2 pages, October 15, 2004, U.S.A.	
	C19	"SSL Stripper Installation Guide," [online]. Retrieved in March 2005 from the Internet<URL:http://www.sslstripper.com>, 2 pages, U.S.A.	
	C20	SSL Stripper Sample Screenshots. "Security Solutions: Sample Screenshots," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.vroyer.org/sslstripper/screenshots.html>, 3 pages, October 15, 2004, U.S.A.	
	C21	Symantec™ Incident Manager <a href="http://enterprisesecurity.symantec.com">http://enterprisesecurity.symantec.com</a> , copyright date June 2003.	
	C22	Web page, announcing 11/11/00 release of Dshield [online]. Deja.com [retrieved 4/18/03]. Retrieved from the	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

20423/08590/DOCS/1682875.1



**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/802,646
Filing Date	March 16, 2004
First Named Inventor	Harlan Seymour
Art Unit	2164
Examiner Name	Alicia M. Lewis
Attorney Docket Number	20423-08590

Sheet

4

of

4

**OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>
		Internet<URL:http://groups.google.com/groups?selm=8vm48v%245pd%241%40nnrp1.deja.com&oe=UTF-8&output=gplain>.	
	C23	Webwasher AG/Full feature set, "Full feature set," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/ssl_scanner/full_feature_set..html?l...>, 2 pages.	
	C24	Webwasher AG/Webwasher Anti Spam, "Webwasher Anti Spam," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/anti_spam/index.htm...>, 1 page.	
	C25	Webwasher AG/Webwasher Anti Virus, "Webwasher Anti Virus," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/anti_virus/index.html...>, 2 pages.	
	C26	Webwasher AG/Webwasher Content Protection, "Webwasher Content Protection," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/content_protection/index.html>, 2 pages.	
	C27	Webwasher AG/Webwasher 1000 CSM Appliance, "Webwasher 1000 CSM Appliance," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/scm_appliance/index...> 2 pages.	
	C28	Webwasher AG/Webwasher SSL Scanner, "Webwasher SSL Scanner," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/ssl_scanner/index.html>, 2 pages.	
	C29	Webwasher AG/Webwasher URL Filter, "Webwasher URL Filter," [online]. Retrieved on March 18, 2005. Retrieved from the Internet<URL:http://www.webwasher.com/enterprise/products/webwasher_products/webwasher_url_filter...>, 1 page.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

20423/08590/DOCS/1682875.1